

Please type a plus sign (+) inside this box [+]

PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 02950.P033

Total Pages 3

First Named Inventor or Application Identifier Paul E. Matz

Express Mail Label No. EL370843766US

16549 U.S. PTO
09/320252
05/26/99

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. X Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. X Specification (Total Pages 32)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
3. X Drawings(s) (35 USC 113) (Total Sheets 10)
4. Oath or Declaration (Total Pages)
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed) (**Note Box 5 below**)
 - i. DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. Microfiche Computer Program (Appendix)

7. _____ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. _____ Computer Readable Copy
b. _____ Paper Copy (identical to computer copy)
c. _____ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. _____ Assignment Papers (cover sheet & documents(s))
9. _____ a. 37 CFR 3.73(b) Statement (where there is an assignee)
_____ b. Power of Attorney
10. _____ English Translation Document (if applicable)
11. _____ a. Information Disclosure Statement (IDS)/PTO-1449
_____ b. Copies of IDS Citations
12. _____ Preliminary Amendment
13. X Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. _____ a. Small Entity Statement(s)
_____ b. Statement filed in prior application, Status still proper and desired
15. _____ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. X Other: Declaration/Power of Attorney
 Associate Power of Attorney
 Letter Regarding Limited Recognition

17. **If a CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
____ Continuation ____ Divisional ____ Continuation-in-part (CIP)
of prior application No: _

18. Correspondence Address

____ Customer Number or Bar Code Label _____
(Insert Customer No. or Attach Bar Code Label here)
or

X Correspondence Address Below

NAME _____
 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard
 Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8598 FAX (408) 720-9397

12/01/97

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN

JCS49 U.S. PTO
09/320252
05/26/99

Date: 05/26/99

By

André L. Marais
Under 37 CFR § 10.9(b)

12400 Wilshire Boulevard
Seventh Floor
Los Angeles, California 90025
(408) 720-8598

"Express Mail" mailing label number: EL370843766US

Date of Deposit: May 26, 1999

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Lindy Vajretti

(Typed or printed name of person mailing paper or fee)

Lindy Vajretti
(Signature of person mailing paper or fee)

(Date signed)

Serial/Patent No.: <u>New application</u>	Filing/Issue Date: <u>Herewith</u>
Client: <u>Aspect Telecommunications</u>	
Title: <u>METHODS AND APPARATUS FOR EXECUTING A TRANSACTION TASK WITHIN A TRANSACTION PROCESSING SYSTEM EMPLOYING SYMMETRIC MULTIPROCESSORS</u>	
BSTZ File No.: <u>02950.P033</u>	Atty/Secty Initials: <u>ALM/lrv</u>
Date Mailed: <u>May 26, 1999</u>	Docket Due Date: <u>***</u>

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

<input type="checkbox"/> Amendment/Response (____ pgs.)	<input checked="" type="checkbox"/> Express Mail No.: <u>EL370843766US</u> Check No. <u>28530</u>
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> _____ Month(s) Extension of Time Amt: <u>814.00</u>
<input checked="" type="checkbox"/> Application - Utility (<u>32</u> pgs., with cover and abstract)	<input type="checkbox"/> Information Disclosure Statement & PTO 140 (____ pgs.) <input type="checkbox"/> Check No. _____
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal Amt: _____
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input type="checkbox"/> Petition for _____
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)
<input type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)
<input type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Response to Notice of Missing Parts
<input checked="" type="checkbox"/> Declaration & POA (<u>4</u> pgs.) <u>unsign</u>	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventions Signed Letter (____ pgs.)	<input checked="" type="checkbox"/> Transmittal Letter, in duplicate
<input checked="" type="checkbox"/> Drawings: <u>10</u> # of sheets includes <u>10</u> figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate

☒ Other: Associate Power of Attorney
Letter Regarding Limited Recognition

FEE TRANSMITTAL**TOTAL AMOUNT OF PAYMENT (\$)** \$814.00**Complete if Known:**

Application No. New application
 Filing Date Herewith
 First Named Inventor Paul E. Matz
 Group Art Unit New application
 Examiner Name Not yet assigned
 Attorney Docket No. 02950.P033

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
 Deposit Account Name _____

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.131(b)

2. ☒ Payment Enclosed
☒ Check
 _____ Money Order
 _____ Other

FEE CALCULATION (fees effective 10/01/97)**1. FILING FEE**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee</u>	<u>Code</u>	<u>Fee</u>	<u>Code</u>		
760	101	201	380	Utility application filing fee	<u>760.00</u>
310	106	206	155	Design application filing fee	_____
480	107	207	240	Plant filing fee	_____
760	108	208	380	Reissue filing fee	_____
150	114	214	75	Provisional application filing fee	_____
SUBTOTAL (1)					\$ 760.00

2. CLAIMS

			<u>Extra</u>		<u>Fee from below</u>		<u>Fee Paid</u>
Total Claims	<u>23</u>	- 20 =	<u>3</u>	X	<u>18.00</u>	=	<u>54.00</u>
Independent Claims	<u>3</u>	- 3 =	<u>0</u>	X	_____	=	<u>0</u>
Multiple Dependent Claims			_____	X	_____	=	_____

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee</u>	<u>Code</u>	<u>Fee</u>	<u>Code</u>		
18	103	203	9	Claims in excess of twenty	<u>54.00</u>
78	102	202	39	Independent claims in excess of 3	<u>0</u>
260	104	204	130	Multiple dependent claim	_____
78	109	209	39	Reissue independent claims over original patent	_____
18	110	210	9	Reissue claims in excess of 20 and over original patent	_____
SUBTOTAL (2)					\$ 54.00

FEE CALCULATION (continued)
3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	_____
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	_____
139	130	139	130	Non-English specification	_____
147	2,520	147	2,520	For filing a request for reexamination	_____
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	_____
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	_____
115	110	215	55	Extension for response within first month	_____
116	380	216	190	Extension for response within second month	_____
117	870	217	435	Extension for response within third month	_____
118	1,360	218	680	Extension for response within fourth month	_____
128	1,850	228	925	Extension for response within fifth month	_____
119	300	219	150	Notice of Appeal	_____
120	300	220	150	Filing a brief in support of an appeal	_____
121	260	221	130	Request for oral hearing	_____
138	1,510	138	1,510	Petition to institute a public use proceeding	_____
140	110	240	55	Petition to revive unavoidably abandoned application	_____
141	1,210	241	605	Petition to revive unintentionally abandoned application	_____
142	1,210	242	605	Utility issue fee (or reissue)	_____
143	430	243	215	Design issue fee	_____
144	580	244	290	Plant issue fee	_____
122	130	122	130	Petitions to the Commissioner	_____
123	50	123	50	Petitions related to provisional applications	_____
126	240	126	240	Submission of Information Disclosure Stmt	_____
581	40	581	40	Recording each patent assignment per property (times number of properties)	_____
146	760	246	380	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
149	760	249	380	For each additional invention to be examined (see 37 CFR 1.129(a))	_____
Other fee (specify) _____					_____
Other fee (specify) _____					_____

SUBTOTAL (3) \$ 0

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: André L. Marais

Signature _____

Date _____

05/26/99

Reg. Number Under 37 CFR § 10.9(b)

Deposit Account User ID _____

02-2666

(complete if applicable)

02950.P033

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)	
)	
Paul E. Matz, et al.)	Examiner: Not yet assigned
)	
Serial No.: New application)	Art Unit: Not yet assigned
)	
Filing Date: Herewith)	
)	
For: METHODS AND APPARATUS FOR)	
EXECUTING A TRANSACTION)	
TASK WITHIN A TRANSACTION)	
PROCESSING SYSTEM EMPLOYING)	
SYMMETRIC MULTIPROCESSORS)	
)	

1c549 U.S. PTO
09/320252
05/26/99

Assistant Commissioner for Patents
Washington, D.C. 20231

LETTER REGARDING LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)

The undersigned has been granted limited recognition under 37 CFR § 10.9(b) to prosecute patent applications in which the applicants are clients of the Blakely, Sokoloff, Taylor & Zafman LLP law firm, and wherein a registered practitioner who is a member of the Blakely, Sokoloff, Taylor & Zafman LLP law firm is the attorney or agent of record. In this regard, please see the attached copy of the original document in which this limited recognition is granted. In particular, please note that:

- (a) The undersigned is an employee of the Blakely, Sokoloff, Taylor & Zafman LLP law firm;
- (b) The above applicant is a client of the Blakely, Sokoloff, Taylor & Zafman LLP law firm;
- (c) A registered practitioner who is a member of the Blakely, Sokoloff, Taylor & Zafman LLP law firm is an attorney or agent of record in the above application;
- (d) The undersigned continues to lawfully reside in the United States on a H-1B visa; and

- (e) The undersigned has been appointed as an associate attorney in the above application.

Accordingly, the undersigned meets all requirements for limited recognition under § 10.9(b), and is thus permitted to prosecute the above patent application.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP



Date: 05/26/1999

12400 Wilshire Boulevard
Seventh Floor
Los Angeles, CA 90025-1026
(408) 720-8598

André L. Marais
Under 37 CFR § 10.9(b)

**UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE**

LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)

Andre L. Marais is hereby given limited recognition under 37 CFR § 10.9(b), as an employee of the Blakely, Sokoloff, Taylor & Zafman law firm, to prepare and prosecute patent applications and to represent patent applicants wherein the patent applicants are clients of the Blakely, Sokoloff, Taylor & Zafman law firm, and wherein a registered practitioner who is a member of the Blakely, Sokoloff, Taylor & Zafman law firm, is the attorney of record. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Andre L. Marais ceases to lawfully reside in the United States, (ii) Andre L. Marais' employment with the Blakely, Sokoloff, Taylor & Zafman law firm ceases or is terminated, or (iii) Andre L. Marais ceases to remain or reside in the United States on an H1B1 visa.

This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

Expires: October 21, 1999



Karen L. Bovard, Director
Office of Enrollment and Discipline